

## **EOHHS FY 2003 CONTRACTING QUALIFICATION PROCESS**

### **Images Extracted from the CQ03.XLS Excel 97 File Application**

The images on the following pages are presented for informational purposes for parties interested in the contracting qualification process who do not have access to the Excel software required to open the Excel file. These images are not intended for use in manually completing forms in lieu of the required electronic submission process. Users requiring alternative submission arrangements for reasonable accommodation purposes should contact the EOHHS Principal Purchasing Agency for assistance.

Note that the images include only the first two pages of the C\_Qual worksheet covering the Contracting Qualification Form. The third page, which is identical to page 2, has been omitted. Similarly, only the first two pages of the ARA (Audit Resolution Agreement Form) and OthCAP (Other Corrective Action Plan Form) worksheets have been included. Images of the hidden PRELOAD and EXPORT worksheets have not been presented since they are not directly used by preparers and are not organized in a form compatible with image display in a word processing document.

**FY 2003 CONTRACTING QUALIFICATION EXCEL APPLICATION**

If completion of this file template poses an accessibility problem, please address a request for reasonable accommodation to your Principal Purchasing Agency ("PPA").

This Excel 97 Workbook format file contains worksheet templates for preparation of the Contracting Qualification Form (sheet "C\_Qual") and, where needed, Audit Resolution Agreements ("ARA"), and Financial/Operational and/or AA/EQ/Programmatic Accessibility Corrective Action Plans ("OthCAP"). Additional sheets (not available for editing by users) include a hidden "EXPORT" sheet used to store data entered by the user in a format required by state agencies for data uploading purposes, and hidden "PRELOAD" sheet, which has been preloaded with existing data for organizations qualified through the FY 2002 contracting qualification process. Data from the PRELOAD sheet is loaded into the "C\_Qual" sheet through linkages to organizational identification data entered below on this sheet. Data is then edited by the user on the "C\_Qual" sheet. The edited data is automatically transferred to the "EXPORT" sheet without further action by the user.

To complete the submission, the user simply prints and signs the predefined print area for the C\_Qual sheet, and, where required, does the same for the ARA and/or OthCAP sheets. Copies of any required additional submission items (e.g., organization charts, financial statements, etc.) should be included in your return mailing to the designated Principal Purchasing Agency ("PPA"). The Commonwealth also requires that an electronic copy of the organization's completed Excel file be submitted as instructed by the separate cover letter from your assigned PPA. In most cases this electronic submission will be accomplished by e-mail file attachment. However, in some situations the PPA and provider may arrange for diskette submission. In either case, an additional file preparation step must be completed in order to reduce the file size so that it will fit on a single diskette. That step is accomplished by simultaneously pressing the "CTRL" - "Shift" - "X" keys, which will initiate an Excel macro. Do not initiate the macro prematurely before your data has been loaded and edited since the macro deletes the PRELOAD sheet and disables various features of the application. Since the effect of the macro cannot be reversed, if it is triggered prematurely it will be necessary to start over with a fresh copy of the file! (More information appears below.)

To preload your organization's data from last year's process, please enter the "Umbrella Qualification ID" (e.g. "100001") assigned by your PPA in the space below.

UQID:

If look-up succeeds, leave UQID in cell. Otherwise preloaded data on C\_Qual sheet will be dumped.

Look-Up results:

Primary Organization Name	Fed. Employer ID ("FEIN")	PPA

Note that in cases involving multiple affiliated or commonly controlled organizations, the review covers all entities, including any that may not be direct contractors with the Commonwealth. The "parent" or other "lead" organization is listed as the "Primary Organization," regardless of whether or not it actually holds POS contracts.

If the look-up fails and your organization is not qualifying this year for the first time, it is possible that the entered UQID is incorrect or that it was inadvertently omitted when system-wide data was loaded into the PRELOAD sheet. To look up the UQID associated with a given FEIN, enter the FEIN below. If a UQID is found, re-enter the UQID in the first UQID look-up field above to confirm the identity of the primary organization and preload data to the C\_Qual sheet.

FEIN (either that for the primary organization or one for a subsidiary/affiliate covered by the same qualification review):

UQID:

If the FEIN look up process fails, finish reading the instructions below and proceed to the C\_Qual sheet, where it will be necessary to enter information by hand, without benefit of the pre-loading process.

**GENERAL INSTRUCTIONS**

Data fields on the C\_Qual, ARA, and OthCAP sheets are color coded. Data entry by users is permitted only in "white" (really no color) cells within the blue background form area. Most of these white fields contain cell reference formulas created to extract data from the PRELOAD sheet. If preloaded data is absent or requires editing, simply overwrite the cell with new data. But note that once a cell has been overwritten the change can be reversed only as long as it remains covered by the Excel "undo" feature. "Ivory/light yellow" cells are "locked" and no attempt should be made to edit them since they are either filled by formula (e.g., for audit year financial ratios) or are filled with data generated by the Commonwealth (e.g., prior year ratios, payment amounts, Qualification status determinations in the "For PPA Use Only" section, etc.). (These cells are locked and cannot be changed without first unprotecting the worksheet, which is password protected.)



## Image of CQ03.XLS file Start\_Here worksheet, page 2

In addition to the data validation messages that appear when a data entry field is selected, supplemental Excel "comment" messages can be viewed by moving the cursor over the red triangles appearing on the sheets. While these comments provide considerable guidance information, they are not intended to entirely replace the full text (WORD/PDF format file) instructions for the qualification process. If you have questions, please consult the full instructions or contact the PPA representative. New providers should not attempt to complete this Excel application without first reviewing the full set of instructions for New Providers. Note that many of the white data entry fields on the C\_Qual worksheet have drop down lists which allow the preparer to select the appropriate response simply by clicking on the selected entry on the list. Fields with drop down lists include the Section I Non-contracting Parent Entity check box and Incorporation Type, SOMWBA, Medicaid, and POS Subcontracts fields; both Section II, item 1 fields; the Section II, item 2 Documentation, Submission Type, Liability to Commonwealth, Audit Opinion, and Findings fields; all Section II, item 3 fields; the Section III Disclosure field; and the Section IV Qualified Certification check box. For these fields, the drop down list must be used since the Excel data validation process will reject any manually entered text that is not exactly identical to one of the options on the list. If this presents a problem, feel free to add an explanation in the Provider Comments field in section IV of the form.

The majority of providers are free standing organizations with only a single vendor code. They will only have to complete the first page of the C\_Qual sheet (the light blue area appearing above the light green "For PPA Use Only" section. Note that many of the fields require data entry and may not be left blank (e.g., board chairperson name). If required fields have been left blank, a red text prompt message will appear below the contact information section. Please complete all required entries so that the red messages are eliminated. If questions arise, feel free to contact your PPA representative for assistance.

Where an organization has more than one vendor code used for Purchase of Service (POS) contracting purposes or where a group of organizations is covered by a single qualification review, additional data entry/editing for the secondary listings is required in the blue page 2 section of the sheet (appearing below the green PPA section at the bottom of page 1. The handful of organizations with up to 14 secondary listings will also have to work their way down through the page 3 area of the sheet. Note that a certification signature by an authorized signatory for the organization is required for each listed organization. The signature fields for each secondary organization/vendor code listing are formatted to be hidden where the FEIN is the same as that for the prior listing. Where the FEIN changes from one listing to the next, the signature field is revealed. Preloaded data has been sorted by FEIN (and last year's QID suffix has been changed where necessary) to facilitate this approach.

Where a secondary listing has been pre-loaded but will no longer be used for POS contracting, please do not attempt to delete the listing. Instead, simply enter a "D" in the "Drop?" box to the left of the listing and it will be automatically dropped when data is processed by the PPA.

**Summary Financial/Audit Information:** The C\_Qual sheet Contracting Qualification Form varies from the pre-printed forms used in prior years in one major respect. The revised form now provides for the entry of 15 financial audit data elements (e.g., current assets amount, presence/absence of findings) used by the PPA in the analysis of the organization's submission. Resulting computed ratios and additional preloaded information such as Commonwealth payment totals for the organization and prior year ratios are also displayed (with underlined *italicized* or **bold** text where the results are outside of normal ranges). This approach should help users determine whether or not the "satisfactory condition" requirements set forth in the separate full text instructions document have been met. Audit Resolution Agreement requirements are relatively clear cut. Where the auditor has reported Internal Control or Compliance findings, a draft Audit Resolution Agreement should be developed using the ARA worksheet (consulting the OSD Audit Resolution Policy for further preparation guidance) and should be submitted to the PPA for review and approval.

Where there appear to be other issues (e.g., inadequate working capital) the organization should either prepare and submit a draft Corrective Action Plan, using the OthCAP worksheet or, where the deficiencies are of a relatively minor nature, contact the PPA representative for guidance regarding the use of an informal corrective measure approach in lieu of a formally executed Corrective Action Plan.

**Error Messages:** In addition to cell specific data validation messages, red colored text prompt messages will appear on the C\_Qual worksheet next to item II, 3.f. if the preparer indicates that an ARA or Other CAP is not being submitted where audit finding or financial data entries appear to indicate that ARA or other CAP submissions should be made. Additional red text messages will appear below the Provider Comments field if any Section II, item 3 or Section III fields have been left blank or if entered Section II financial data fails basic accounting data validation checks (e.g. if Assets minus Liabilities fail to equal Net Assets). If further clarification is needed, please contact the PPA representative.

**AA/EO/Programmatic Accessibility Submission:** As stated in the full text instructions document, submission requirements for Affirmative Action/Equal Opportunity and Programmatic Accessibility qualification are processed through a separate but related review conducted by PPA AA/EO/PA managers. Final contracting qualification approval is contingent on satisfactory completion of the AA/EO/PA qualification process.



### Image of CQ03.XLS file Start\_Here worksheet, page 3

**Data File Submission:** The original size of this file, which includes pre-loaded system-wide data for well over 1,000 provider organizations, is too large to fit on a single 1.44MB diskette without the use of "Zip" compression software. It is also larger than the limits established for some e-mail systems. To avoid these problems, we ask that the preparer, *after first printing the required signature copies of the C\_Qual worksheet (and, if applicable the ARA and/or OthCAP sheets)*, run the previously mentioned "CTRL-SHIFT-X" macro to reduce the file size before submitting the file to by e-mail or diskette to the PPA representative identified in the cover letter from your PPA. Note that if this workbook was opened with "Macros Disabled", the macro will not run until the workbook has been saved and closed and then re-opened with "Macros Enabled". As stated in the file download instructions, even though the Commonwealth endeavors to maintain its Internet sites in a virus-free state, it is advisable to check this file with anti-virus software before opening it in a "Macros Enabled" state.

*Note that the macro has been written to save files to the drive "C:\PQ" directory/folder. If that folder does not already exist, it will be necessary to create the folder before running the macro or the macro will attempt to save the file to a non-existent location. If the file is being worked on in a network environment where it is impossible to save it to the C:\PQ location, please contact the PPA for technical assistance.*

When the "CTRL-SHIFT\_X" macro is run, it will first save the existing edited file to the drive C:\PQ directory folder under the standardized name "CQ03.XLS". If the original downloaded file or any subsequent file saves under that name were located in the same directory, the user will be prompted to confirm the overwrite of the existing file. Please click yes when prompted. The macro will then reduce the file size to less than half of the capacity of a 1.44MB diskette and save it to the C:\PQ folder as

"CQ03\_XXXXXX.XLS", substituting the organization's 6 character Umbrella Qualification ID for the "XXXXXX" in the file name. *The user will be prompted to confirm the deletion of the PRELOAD sheet (which won't be identified by name). Please confirm the deletion when prompted.* When the macro is finished it will automatically close the workbook. **Simply submit a copy of the saved "CQ03\_XXXXXX.XLS" file by e-mail file attachment as instructed by the PPA cover letter and mail in the required hard copy submissions.** Thank you.

**Preparation TIP:** Since the worksheet forms can not be legibly viewed on screen in their entirety, preparers may find it useful to first enter the Umbrella Qualification ID in the field above on this worksheet and then print out the C\_Qual worksheet (and, if applicable, the ARA and OthCAP sheets) to review prior to editing and completing the worksheet. This preliminary print-out will also identify any printing setup issues that may need to be resolved prior to printing the final submission copy. Print areas, margins, page-breaks and other print settings have been predefined to work on a wide variety of printers. However, if you do encounter problems, feel free to contact the PPA for assistance.

***If you have any questions or concerns not addressed by these instructions, please contact your PPA representative. A secretariat-wide list of PPA contacts is maintained on the contracting qualification process internet site:***  
***<http://www.state.ma.us/dph/pos/eohhs.htm>***



**QID:**  **PPA:**  **FY 2003 CONTRACTING QUALIFICATION FORM**

**I. INFORMATION FOR PRIMARY ORGANIZATION** *Please read accompanying instructions carefully before completing this certification form.*

Check that if primary organization is a non-profit, government entity, or other exempt organization, it is not contracting for profit.

QID Suffix	FEIN	VC Suffix	Primary Organization Name	Business Office Address Number/Street	City	State	Zip	Incorporation Type	Capital Thresh.	SOW/BA Certification	Medical Masthead/SHIP	POS Subcontract
Board Chairperson First Name	Last Name	Chief Executive Officer First Name	Last Name	First Name	Last Name	Title	Address	City	State	Zip	Phone	E-mail Address

**II. SUBMISSION MATERIALS** (Covering the Primary Organization and all subsidiary entities as required by instructions.)

EXEMPTIONS/EXCEPTIONS: If the submission should be processed as a Limited Qualification submission (either ASOR, ALEO or excepting) or as a Governmental Entity Submission, complete items 1a or 1b. If no exemption or exception applies, skip to item 2.

1. a) Limited Qualification - Specify applicable option, then skip to 3b.  
b) Governmental Entity - Enter and affirm that, in law and equity, it is not for profit.

2. FINANCIAL AUDIT INFORMATION: Financial information is required for all commonly controlled, affiliated or related entities, including those other than those contracting with the Commonwealth. See instructions for details on certain exceptions.

**FY End:**  **Documentation:**  or not due until

**Summary Information (Consolidated/Basic where applicable):**

Her Accounts Receivable - PPA, Org	Beginning Net Assets	Total Disbursements - Prior Year	Current Ratio
Total Current Assets	Net Assets at End of Year	Total Disbursements - Prior Year	Debt Working Cap
Total Assets	Ending Net Assets - Current Operations	Audit Opinions	Debt Receivable
Total Current Liabilities	Total Program Service Fees	Findings	Equity Rev. over Exp.
Total Liabilities	Total Rev. Grants & Other Rpt.	FY2003 POS & Related Payments	Return on Ending Assets
POS & Related Compensation Data (provide a Commonwealth)	FY2003 POS & Related Payments	FY2003 POS & Related Payments	Return on Net Assets

3. Additional Submission Items - Note: Separate ALEO/Programmatic Access Materials must be included with all conflicting qualification submissions.

a) Analysis of Org. Bylaws  b) Organization Chart  c) Board/Principals Info.

d) Terms & Conditions  e) Federal Employee ID # (FEIN) Documentation

**III. RELATED PARTY DISCLOSURE CERTIFICATION**

Disclosures:

The signatory below represents that all required related party disclosures have been made in a complete and accurate manner and that all applicable and pertinent financial and operational information has been disclosed to the Commonwealth. The signatory also represents that the organization has not been found in violation of the Commonwealth's Code of Ethics or any other applicable laws or regulations.

**IV. FEDERAL DISCLOSURE, TAX AND OTHER COMPLIANCE CERTIFICATION**

Under the penalties of perjury, the signatory below certifies that neither the organization nor its principals are presently delinquent, suspended, proposed for delinquency, or delinquent for failure to pay Federal tax obligations. The signatory also certifies that the organization has not been found in violation of the Commonwealth's Code of Ethics or any other applicable laws or regulations.

The signatory below certifies that the organization has not been found in violation of the Commonwealth's Code of Ethics or any other applicable laws or regulations.

**FEIN**  **Organization Name**  **Authorized Signature**  **Date**

**Supplemental Pages Attached:**

**For PPA Internal Use:**

**Qualification Status:**  **Early Termination Date if Provisional or Conditional:**

**Comments:** 1   
2

**POS & Related Details:**

**PPA Approval:**  (Please include ALEO/BA approval)  
Most recent date stamp:  **Signature**  **Date**  **Phone**  **E-Mail**







**PPA:**  **FEIN:**  **PROVIDER:**  **CONTACT NAME:**  **PHONE:**

**INVOLVED NON-PPA AGENCIES:**  **INVOLVED AUDITEE AFFILIATES/RELATED PARTIES:**

**AUDIT INFORMATION**

**Audit Firm/Agency:**  **Audit Scope Period:**  to  **Date Audit Report Issued:**

**Audit Type (complete one):** ☐ **UFR:** ☐ **Office of the State Auditor - Audit #:**  **Auditor Contact Name:**  **Phone:**

**Findings (check one):** ☐ **A-133:** ☐ **Non-A-133:** ☐ **Both A-133 & non-A-133:** ☐ \*Where both A-133 & non-A-133 findings are included, include first A-133 finding in the identified issues box below.

**Audit Findings Include (check one):** ☐ **Internal Control Issues** ☐ **Compliance Issues** ☐ **Both Internal Control & Compliance Issues**

**Did the Auditor recommend recovery of funds to the Commonwealth? (Y/N):** ☐ **Recommended Total Recovery Amount:**  **Amount to be Recovered:**

*(Explain as expressly provided by the Civil Audit Resolution Order; all recommended amounts must be recovered in full. Details of any CARS approval are required to be included in the resolution agreement.)*

IDENTIFIED ISSUES (Reference specific findings.)	CORRECTIVE MEASURES	TIME FRAME	ACTION DEEMED SUCCESSFUL WHEN	MEANS OF EVALUATION	NAME & TITLE OF PERSON RESPONSIBLE FOR THIS ISSUE

*Note: The use of alternative formats for the presentation of Audit Resolution Agreements is acceptable as long as all elements (e.g., timeframes, means of evaluation, etc.) of the standard format are included.*

The terms of this Audit Resolution Agreement have been reviewed and approved by the Provider Board of Directors. The Board recognizes that contracting qualification approval is contingent upon compliance with the provisions of this plan and that failure to fulfill agreement provisions in a timely, complete, manner may result in contract termination or other action by the Commonwealth.

**APPROVED:** For the Board of Directors of the Provider  **Date:**

**ACCEPTED:** For the Commonwealth of Massachusetts  **Date:**

*(Subject to Secretariat and OSD acceptance where a PPA representative signs for the Commonwealth)*

**Additional Attachments:**

**Secretariat Acceptance:**  **OSD Acceptance:**

**Page:**  of



AUDIT RESOLUTION AGREEMENT

PPA:   
UQID:

FEIN:

PROVIDER:

IDENTIFIED ISSUES (Reference specific findings.)	CORRECTIVE MEASURES	TIME FRAME	ACTION DEEMED SUCCESSFUL WHEN	MEANS OF EVALUATION	NAME & TITLE OF PERSON RESPONSIBLE FOR THIS ISSUE



## CORRECTIVE ACTION PLAN

(A separate signed "Audit Resolution Agreement" must be executed to address any Internal Control or Compliance audit findings.)

PPA: UID: FEIN: PROVIDER: INVOLVED NON-PPA AGENCIES: CONTACT NAME: PHONE: 

CAP ISSUES INCLUDE (Check one):

☐ AAEO/PA Issues☐ Financial/Operational Issues☐ Both AAEO/PA and Financial/Operational Issues

(Any audit finding issues must be addressed in a separate audit resolution agreement.)

IDENTIFIED ISSUES	CORRECTIVE MEASURES	TIME FRAME	ACTION DEEMED SUCCESSFUL WHEN	MEANS OF EVALUATION	NAME & TITLE OF PERSON RESPONSIBLE FOR THIS ISSUE
<i>Note: The use of alternative formats for the presentation of Corrective Action Plan provisions is acceptable as long as all elements (e.g., timelines, means of evaluation, etc.) of the standard format are included.</i>					

The terms of this Corrective Action Plan have been reviewed and approved by the Provider Board of Directors.

The Board recognizes that contracting qualification approval is contingent upon compliance with the provisions of this plan and that failure to fulfill agreement provisions in a timely, complete, manner may result in contract termination or other action by the Commonwealth.

APPROVED: For the Board of Directors of the Provider

ACCEPTED: For the Commonwealth of Massachusetts

Date

Date

Additional Attachments:

Page:  of



PPA:

UQID:

**FEIN:**

PROVIDER:

[illegible]